



# Request for Proposals

## for Engineering and Environmental Services for the US 101/I-280 Express Lanes and Bus Project

Date Issued	Proposals Due	Expected Duration	Budget	DBE Goal	Contact
February 3, 2020	March 4, 2020 at 2:00 p.m. (electronically)	Two years	Up to \$5,400,000	12.8%	Steve Stamos Senior Management Analyst 415.522.4817 <a href="mailto:steve.stamos@sfcta.org">steve.stamos@sfcta.org</a>

### SECTION I – NOTICE

Notice is hereby given that the San Francisco County Transportation Authority (Transportation Authority) is requesting proposals from qualified respondents (proposers/respondents) to provide engineering and environmental services for the US 101/I-280 Express Lanes and Bus project (Project).

**Pre-Proposal Conference.** Although attendance at the pre-proposal conference is not mandatory, proposers and sub-consultants are encouraged to attend a pre-proposal conference to be held at the Transportation Authority’s offices, 1455 Market Street, 22nd Floor, Hearing Room. See the schedule in Section II for the conference date and time. Attendees are requested to confirm attendance by completing the online registration form at [www.sfcta.org/contracting](http://www.sfcta.org/contracting) by 5:00 p.m. the day before the conference.

**Questions.** Questions may be submitted in writing by the stated deadline in Section II by e-mail to [info@sfcta.org](mailto:info@sfcta.org); please include “RFP 19/20-06 - US 101/I-280 Express Lanes” in the subject line. The Transportation Authority’s responses will be posted to [www.sfcta.org/contracting](http://www.sfcta.org/contracting) by the date indicated in the schedule, and any addenda to the RFP will also be made available on that webpage prior to the proposal due date. Please see Section II for all important dates and deadlines.

### SECTION II – SELECTION PROCESS SCHEDULE

Date	Phase/Item Due
February 3, 2020	Release of RFP
February 12 5:00 p.m.	Pre-proposal conference attendees requested to submit registration: <a href="http://www.sfcta.org/contracting">www.sfcta.org/contracting</a>



February 13 10:30 a.m.	Pre-proposal conference held at the Transportation Authority's offices
February 14 5:00 p.m.	Proposers to submit written questions to Transportation Authority
February 19*	Transportation Authority issues written responses to questions
<b>March 4, 2:00 p.m.</b>	Responses to RFP and separate cost proposals due electronically. Late submissions will not be accepted.
March 10*	Invitation(s) to interview issued to short list of proposers* (if necessary)
Week of March 16*	Interviews* (scheduled if necessary)
March 25*	The selection committee's recommendation to Citizens Advisory Committee for award
April 14*	Recommendation to Transportation Authority Board for award
April 28*	Transportation Authority Board awards contract

\* Subject to change

### **SECTION III – BACKGROUND**

The Transportation Authority was created in 1989 by the voters of the City and County of San Francisco (City) to impose a voter-approved transaction and use tax (i.e., sales tax) of one-half of one percent to fund essential traffic and transportation projects as set forth in the San Francisco County Transportation Expenditure Plan (Prop B Expenditure Plan) for a period not to exceed twenty years. Beginning July 1, 2017, the California Department of Tax and Fee Administration became the successor to the State of California Board of Equalization for administering and collecting sales tax revenues for the Transportation Authority. In November 2003, San Francisco voters approved a new 30-year Expenditure Plan (Prop K Expenditure Plan) that superseded Prop B, and continued the one-half of one percent sales tax.

The Transportation Authority Board consists of the eleven members of the Board of Supervisors (BOS) of the City, who act as Transportation Authority Commissioners; nonetheless, pursuant to California Public Utilities Code Section 131000 et seq., the Transportation Authority operates as a special purpose governmental entity, independent of the City.

The Transportation Authority is designated under State law as the Congestion Management Agency for San Francisco County. In this capacity, the Transportation Authority has a wide range of responsibilities which include preparing the long-range County-wide Transportation Plan, prioritizing state and federal transportation funds designated for San Francisco, developing and operating a computerized travel demand forecasting model, and implementing the state-mandated Congestion Management Program. The Transportation Authority is also the



designated San Francisco Program Manager for the Transportation Fund for Clean Air Program, a state-mandated program that collects an annual vehicle registration surcharge and allocates the funds to transportation projects that improve air quality.

On November 2, 2010, San Francisco voters approved Proposition AA, establishing a new \$10 vehicle registration fee on motor vehicles registered in the City and designated the Transportation Authority as administrator of the fee. Revenues are used for local road repairs, pedestrian safety improvements, and transit reliability improvements throughout the City in accordance with the voter-approved Expenditure Plan.

## **Project Purpose**

Parts of San Francisco's freeway network are critically congested, but there are many empty seats in cars, vans and buses. The Project will develop a high occupancy vehicle corridor between downtown San Francisco and San Mateo County, which will enable a faster, more reliable trip for facility users. The Project will also support expanded express bus service along the corridor.

The Project is part of a regional network of express lanes and buses which hope to reduce travel time, increase person throughput, and improve reliability for Bay Area drivers. The proposed Project, along with planned projects in San Mateo County, will provide a continuous carpool or express lane between San Francisco and Santa Clara. Together these projects aim to reduce greenhouse gas emissions and advance equity by providing expanded transportation options.

The Project has been developed based upon the Transportation Authority's 2018 Freeway Corridor Management Study (FCMS) (available at [https://www.sfcta.org/sites/default/files/2019-03/FCMS\\_PH2\\_Report\\_FINAL\\_1.pdf](https://www.sfcta.org/sites/default/files/2019-03/FCMS_PH2_Report_FINAL_1.pdf)) and 2019 Project Initiation Document (PID). The PID laid out potential carpool and express (i.e., managed) lane alternatives along the US 101/I-280 corridor within the City and County of San Francisco and San Mateo County. As part of the PID phase, Transportation Authority staff engaged in outreach to educate stakeholders about the feasibility of different types of managed lanes. Key stakeholders for this outreach effort included the Transportation Authority Board of Commissioners, community groups, merchants, residents, and likely users of the express lanes, especially those who work or live close to the freeways.

## **Project Background**

The proposed Project will implement five miles of carpool and express lanes along the US 101/I-280 corridor from San Mateo County to 3rd and King streets in downtown San Francisco. The Transportation Authority is seeking consulting services for engineering and environmental studies support in development of a Project Report and Environmental Document as well as an Equity Study to ensure that the environmental process considers the impact of the Project on communities of concern.

The Project Report and Environmental Document are required by Caltrans as part of the Project Approval and Environmental Document (PA&ED) process. The PA&ED phase will scope and evaluate express lane options with the goal of increasing person-throughput by efficiently prioritizing high-occupancy vehicles.

The Project as currently envisioned is anticipated to be constructed in two phases. Phase 1 of the Project would include a northbound high-occupancy vehicle (HOV) lane along I-280 from approximately 23<sup>rd</sup> Street to the I-280/5<sup>th</sup> Street touchdown (freeway terminus) as well as two blocks along northbound King Street from 5<sup>th</sup> Street to 3<sup>rd</sup> Street. Phase 2 of the Project would



include a southbound high-occupancy toll (HOT) lanes along King Street, I-280 and US 101, starting from 4<sup>th</sup> Street and ending at the San Mateo County line. Phase 2 will also include HOV to HOT lane conversion of the previously constructed northbound lanes and the remaining northbound HOT facility gap from the San Mateo County line to 23<sup>rd</sup> Street.

The Project Report and Environmental Document will identify and develop the preferred alternatives for express lanes along the corridor based on traffic data analysis and highway design requirements. It will also clarify cost, schedule and programming of future phases of work through construction and operation.

While the PID phase covered the comprehensive corridor in both San Francisco and San Mateo counties, the PA&ED phase will be separated into two projects, each delivered by their respective counties to accelerate schedule. Both counties will continue to coordinate closely with each other and Caltrans throughout the PA&ED phase.

## **SECTION IV – SCOPE OF SERVICES**

The Transportation Authority seeks engineering and environmental consultant services to support the Project. The Transportation Authority has budgeted \$3,000,000 for this contract, and an additional \$2,400,000 for the optional tasks described below, for a total potential contract budget up to \$5,400,000. The optional tasks are to be exercised at the discretion of the Transportation Authority, and contingent upon additional funding being secured. The DBE goal of 12.8% applies for both the \$3,000,000 contract budget for required tasks and the \$5,400,000 total potential contract budget. Please note this is a ceiling and not a target. It is anticipated that a contract will be awarded for a two-year term, inclusive of optional tasks being exercised.

The Transportation Authority does not have office space available for this contract and, with the exception of progress and coordination meetings, all work shall take place at the consultant offices. Proposers should be prepared to mobilize within 48 hours following contract negotiations and contract award by the Transportation Authority Board.

Specific tasks include: 1) Project Management, 2) Traffic Study, 3) Equity Study, 4) Environmental Document, 5) Project Report, and 6) Communications. The tasks are detailed below.

### **Task 1. Project Management**

This task provides for ongoing management of the Project team and associated Project controls including monitoring project progress against the baseline schedule and budget. The task will also involve interagency coordination meetings, quality assurance/quality control, Project risk and opportunity management, as well as regular progress updates to the Transportation Authority Citizens Advisory Committee and Board.

- 1.1 Be responsible for organizing and leading team meetings including developing agendas and distributing meeting minutes in work breakdown structure format.
- 1.2 Management of the Project budget will include tracking of subconsultant time, invoicing, and development of supporting progress reports in work breakdown structure format.
- 1.3 Development of baseline schedule for design and construction phases will allow the Project team to make informed decisions related to permitting, funding and procurement.



The selected consultant is expected to manage the Project schedule for current and future phases of work.

- 1.4 [Optional Task] Assist Transportation Authority staff in development of a project risk register to identify and track potential project threats and opportunities and well as provide advice on required project permitting schedules.

Required Deliverables:

- 1.1 - Meeting Agendas and Minutes
- 1.2 - Progress Reports and Invoices
- 1.3 - Baseline Project Schedule and Updates

Optional Deliverables:

- 1.4 - Project Risk Register

**Task 2. Traffic Study**

In this task, the selected consultant will collect and analyze pertinent Project information including but not limited to existing and forecasted traffic counts and operations data. The selected consultant will conduct traffic operations analysis using previously collected traffic data and traffic forecasts prepared by the Transportation Authority for select Project alternatives and time horizons. The selected consultant will use the results of the traffic operations analysis, combined with alternatives cost estimates, to develop preliminary facility revenue projections and provide better understanding of the financial viability of each Project alternative.

- 2.1 Collect existing traffic data including information related to: travel time, vehicle occupancy, mainline counts, and on-ramp and off-ramp counts.
- 2.2 Process traffic forecasting data prepared by the Transportation Authority to develop a Traffic Operations Analysis model using PTV VISSIM or similar software. The model will evaluate the Project alternatives and Federal Highway Administration collision prediction.
- 2.3 Work with Transportation Authority staff to develop a Toll Policy Strategy including operations planning, toll collection and potential partnerships.
- 2.4 [Optional Task] Develop preliminary traffic and revenue analysis accounting for assumed tolling rates and time valuation projections.
- 2.5 [Optional Task] Develop a financial model, including traffic and revenue assumptions as well as operations and maintenance cost projections based on typical highway lifecycles within the region.

Required Deliverables:

- 2.1 - Existing Traffic Data
- 2.2 - Traffic Operations Analysis Report (TOAR)
- 2.3 - Toll Policy Strategy

Optional Deliverables:

- 2.4 - Traffic and Revenue Model
- 2.5 - Financial Model



### Task 3. Equity Study

The Project corridor traverses communities that have experienced negative impacts from past development and transportation investments. The purpose of this task is to better understand the potential impacts and benefits to these communities and to users of the corridor. The **selected** consultant will help implement an equity-first approach that includes surveying and analyzing data and information on current and expected future corridor users and the surrounding communities to broadly understand the potential impacts and benefits that may be experienced by groups of particular concern. Transportation Authority staff will use this data and analysis to inform Project alternatives with an overall goal of advancing equity in the corridor and the region.

3.1 Apply Equity Framework. Work with Transportation Authority staff to apply regional and organizational equity goals to Project context.

- a) Review existing framework for equity analysis developed by Transportation Authority staff and similar equity analyses conducted for pricing and similar projects.
- b) Confirm specific equity impacts to evaluate including economic burden, travel time, air quality/noise, access to opportunities (employment, schools, etc.), and others as identified from the review.

3.2 Support Development of Existing Conditions Analysis. Transportation Authority staff will develop supplemental travel survey data for the US 101/I-280 corridor, building on travel survey data collected in 2019 that includes demographics, trip types and times, trip traces, and other information. Data will be made available to the selected consultant to support the identification of existing conditions. The selected consultant will:

- a) Identify any additional data needed to analyze equity for this study.
- b) Help identify community groups for coordination on the development of the equity analysis and engagement process. This subtask is directly related to the engagement process defined in Task 6.2.
- c) Develop a technical memorandum documenting existing conditions in the corridor.

3.3 Support Development of Equitable Project Alternatives. Identify elements from the engagement process and the existing conditions that could be used to help advance equity in the Project corridor. This work will primarily consist of assembling existing transit and urban planning work conducted in the corridor and in the neighborhoods that may be affected by the potential Project and identifying how transit and urban design elements could be incorporated into Project alternatives. This task includes:

- a) Identify and evaluate transit improvements in the corridor, including express bus services and potentially other transit improvements.
- b) Collect urban design improvements identified from local plans in potentially impacted communities.
- c) All improvements will be responsive to the conditions identified in Task 3.2 and gathered through community engagement in Task 6.

3.4 Support Development of an Equity Analysis of Alternatives. Analyze Project alternatives developed as part of the Project approval process utilizing the equity framework



developed as part of Task 3.1. This task will also be coordinated, as needed, with the environmental analysis conducted in Task 4.2.

Required Deliverables:

3.1 - *Equity Framework*

- a) *Goals and Objectives*
- b) *Performance Metrics*

3.2 - *Existing Conditions Study*

3.3 - *Equity Input to Alternatives*

- a) *Transit Planning*
- b) *Urban Concept Planning*

3.4 - *Equity Analysis of Alternatives*

**Task 4. Environmental Document**

In this task, the selected consultant will complete the required studies to receive environmental clearances for both phases of the Project per the California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) requirements.

- 4.1 The first step of the environmental clearances process will require an initial site assessment and project scoping. This work will inform requirements for both Phase 1 and Phase 2 environmental documents.
- 4.2 The selected consultant will conduct all required environmental studies, including but not limited to: biologic field studies, wetland delineation, geologic assessment, flood plain mapping and hydrology studies. The selected consultant will also evaluate project impacts to storm water, air quality, noise, energy, climate, community and cultural resources.
- 4.3 For Phase 1 of the Project, the selected consultant will develop an environmental document to support construction of a northbound HOV facility within the existing shoulder.
- 4.4 For Phase 2 of the Project, the selected consultant will draft the environmental documents pertaining to construction of southbound HOT lanes and northbound lane conversion. The selected consultant will also coordinate the process of all public circulation and comment for the document.
- 4.5 *[Optional Task]* After completion of the Draft Environmental Document, the selected consultant will work with the Transportation Authority and Caltrans to gain approval of a Final Environmental Document. The Final Environmental Document will be informed by information included in the environmental impact reports and the equity study.

Required Deliverables:

4.1 - *Environmental Scoping*

- a) *Initial Site Assessment (ISA)*

4.2 - *Environmental Technical Studies*

- a) *Natural Environmental Study (NES)*
- b) *Air Quality Analysis*
- c) *Noise Study Report*



- d) *Water Quality Study*
- e) *Visual Impact Analysis*
- f) *Archaeological Survey Report*
- g) *Historic Resources Evaluation Report*
- h) *Finding of Effect*
- i) *Community Impact Assessment*
- j) *Section 4F Evaluation*

#### 4.3 - *Environmental Documents (Phase 1)*

- a) *CEQA Documents*
- b) *NEPA Documents*

#### 4.4 - *Draft Environmental Document (Phase 2)*

- a) *Notice of Intent*
- b) *Notice of Preparation*
- c) *CEQA Evaluation*
- d) *Summary of Public/Agency Process*
- e) *Mitigation and Monitoring Commitments*

#### Optional Deliverables:

#### 4.5 - *Final Environmental Document (Phase 2)*

- a) *Notice of Completion*
- b) *Notice of Availability*
- c) *Record of Public Meeting*
- d) *Findings Report*
- e) *Statement of Overriding Considerations*
- f) *FHWA Checklist*
- g) *Notice of Determination*
- h) *Record of Decision*

### **Task 5. Project Report**

This task provides for the development and approval of a Caltrans Project Report which will be prepared after preliminary engineering and environmental studies have been completed. The selected consultant will collect as-built and aerial topographic mapping as well develop preliminary geometric engineering designs, toll system concepts, traffic management plans and analysis of the existing structures. The findings of these individual studies will be compiled in a Project Report for approval by Caltrans.

- 5.1 Conduct topographic mapping and collect relevant Project data such as as-built data in order to develop concept level design alternatives for preliminary screening. The selected consultant will also be aware of utility conflicts and account for any required relocation plans.
- 5.2 Prepare engineering designs for select Project alternatives including but not limited to vertical and horizontal alignments, cross sections and design exceptions.
- 5.3 Prepare Project cost estimates for capital investments inclusive of design and construction as well as for operations inclusive of toll systems, transit and life cycle maintenance.
- 5.4 Prepare draft Project Report including all supporting draft technical studies.





5.5 *[Optional Task]* Prepare all necessary technical studies required as part of the Caltrans Project approval process. Reports will provide an understanding of the facility conditions under existing and proposed scenarios. Reports will evaluate pavement condition, bridge structures, foundations, drainage, hydrology and local geology.

5.6 *[Optional Task]* Prepare a preliminary Traffic Management Plan (TMP) to inform early discussions around Project implementation and staging.

5.7 *[Optional Task]* Develop a conceptual level design for the toll systems in order to inform preliminary cost estimates and operations planning.

5.8 *[Optional Task]* Deliver final version of the Project Report for required review and comment by Caltrans and other stakeholders.

Required Deliverables:

5.1 - Preliminary Engineering

- a) Data Collection
- b) Topographic Mapping
- c) Utility Coordination
- d) Design Alternatives
- e) Value Analysis

5.2 - Geometric Designs

- a) Geometric Drawings
- b) Right of Way Data Sheets
- c) Design Exceptions Fact Sheets

5.3 - Project Cost Estimates

- a) Capital Expenditures
- b) Operating Expenditures

5.4 - Project Report

- a) Draft Report

Optional Deliverables:

5.5 - Technical Studies

- a) Structural Planning Study
- b) Preliminary Foundations Report
- c) Drainage Impact Report
- d) Bridge Hydrology Report
- e) Pavement Evaluation Report
- f) Geotechnical Designs

5.6 - Traffic Management Plan

5.7 - Toll System Concept

5.8 - Project Report

- a) Final Report

**Task 6. Communications**



The selected consultant will support Transportation Authority outreach efforts to gain an understanding of key stakeholder interest, concerns, and questions associated with alternatives analysis, environmental process and the equity study. The selected consultant will also support Transportation Authority staff to conduct public outreach and community meetings to communicate findings related to the studies surrounding social and environmental impact within the Project corridor.

The audience for this effort includes the Transportation Authority Board of Commissioners, community groups, merchants, the general public and likely users of the express lane who work or live close to the facilities. Outreach efforts will pay special attention to the subject of equity and the impacts the Project will have on communities of concern.

- 6.1 Develop a Project kick-off meeting and Information Review and Work Plan for the communications element.
- 6.2 Planning for Public Outreach and Engagement. This includes outreach specifically supporting the Equity Study and any outreach required to satisfy the CEQA/environmental clearance process.
- 6.3 Outreach and Engagement Support Services. This includes assistance in executing the Outreach and Engagement Plan.
- 6.4 Administration and Reporting.

Required Deliverables:

- 6.1 - *Communications Element Work Plan*
- 6.2 - *Public Outreach and Engagement Plan*
- 6.3 - *Outreach and Engagement Support and Staffing*
- 6.4 - *Status Reports*

## **SECTION V – RFP RESPONSE REQUIREMENTS: CONTENT AND FORMAT**

All proposals should be clear, concise, and provide sufficient information to minimize questions and assumptions. Proposals should be limited to **15 pages** (no smaller than 12-point font shall be used and all page sizes greater than the letter size of 8.5" x 11" will be counted as two pages), excluding cover letter, table of contents, the cost proposal, and the following items, which should be included as attachments: résumés, Disadvantaged Business Enterprise (DBE) certifications, and required exhibits. The Transportation Authority accepts no financial responsibility for any costs incurred in the preparation of proposals. Upon receipt, all accepted proposals submitted in response to this RFP will become the property of the Transportation Authority.

**Time and Place for Submission of Proposals.** By the proposal submission deadline, the following must be transmitted:

- **Proposal** (written proposal, without cost proposal): one (1) electronic copy (PDF) including all information herein requested. Please clearly specify in the subject line of the e-mail transmittal: "Response to RFP 19/20-06 – US 101/I-280 Express Lanes".



- **Cost proposal** (in a separate electronic file): one electronic copy (XLS/XLSX format) including all information herein requested. Please name the file: "Cost Proposal for RFP 19/20-06", and submit along with the proposal.

The proposals must be transmitted electronically to the Transportation Authority at the following address: [info@sfcta.org](mailto:info@sfcta.org).

All responses must be in writing and identified as to content and be received by the Transportation Authority by the due date. Proposals received later than the above date and time will be rejected.

**Cover Letter.** Proposers must submit a letter of introduction for the proposal. The letter must be signed by a person authorized by your firm to obligate your firm to perform the commitments contained in the proposal. Submission of the letter will constitute a representation that your firm is willing and able to perform the commitments contained in the proposal. The cover letter must also include the following content in the format as shown:

**1. Project Manager** (The individual in charge of the scope of services, and who will be the Transportation Authority's contact throughout the contract duration)

Name:  
Title:  
Address:  
City, State, ZIP:  
Phone Number:  
Email:

**2. Selection Process Lead** (The individual to whom correspondence and other contacts should be directed during the consultant selection process)

Name:  
Title:  
Address:  
City, State, ZIP:  
Phone Number:  
Email:



<p><b>3. Negotiating Officer</b> (The individual who will negotiate with the Transportation Authority and who can contractually bind the proposer’s firm)</p> <p>Name: Title: Address: City, State, ZIP: Phone Number: Email:</p>
<p><b>4. List proposed co-venture arrangements or sub-consultants, if any:</b></p> <p>1. Company: DBE status: Percentage of involvement: Name: Title: Address: City, State, ZIP: Phone Number: Email:</p> <p>2. ...</p>
<p><b>5. <input checked="" type="checkbox"/> This letter is signed by an officer that is authorized to bind the proposer contractually.</b></p>
<p><b>6. <input checked="" type="checkbox"/> This proposal is firm for a 120-day period from the proposal submission deadline.</b></p>

**Content.** Proposals must contain the following five sections:

- 1. Proposer Information and Understanding of Project Objectives.** In this section, the proposer must provide a discussion demonstrating an understanding of the services to be provided, the challenges for each task, and their significance to the Transportation Authority.
- 2. Technical and Management Approach.** In this section, the proposer must describe its approach to the delivery of the services included in Section IV. This section must (1) reflect the proposer’s knowledge of, and ability to demonstrate, a sound approach to the requested services, (2) include a discussion on potential impacts to cost, scope, and schedule based on lessons learned, including any recommendations the consultant proposes to lower and/or control costs given the proposed scope of the project and (3) demonstrate the proposer’s knowledge of adjacent projects and their potential impacts to the delivery of the services of this RFP.



Proposer must provide the names and positions of all staff for the proposed team. An organization chart should be included that clearly establishes principal team member firms and sub-consultants, if any. Proposer must also identify any specialty sub-consultants that would not necessarily be part of the core team, but would be available on an as-needed basis for specialty support. The proposal should also designate the Project Manager in charge of the scope of services and the Transportation Authority's contact throughout the contract duration. In addition, the proposal should briefly address how the efforts of each of the team members will be coordinated. Proposers should provide a staffing plan with level of effort (e.g., person hours per staff) by task. Do not include budget or rate information in the written proposal; this information should be included in the cost proposal. If the work is to be shared among firms and offices at different locations, indicate where each office is located and what work is to be performed in each office.

Proposals must discuss workload for all key team members, indicating their expected availability, the percentage of their time that will be devoted to the Transportation Authority's contract and any other assurances as to their ability to provide the requested services in a responsive and timely manner. The description of the management approach should address proposed response time standard and how the management and team structure will help to meet those standards.

3. **Capabilities and Experience.** Proposers must state the qualifications and experience of the proposed team, emphasizing the specific qualifications and experience acquired while providing services similar to those being sought by the Transportation Authority, particularly for the Project Manager and other key project staff members assigned to the Project. Except under certain circumstances beyond the proposer's control, the Transportation Authority will not accept substitutions of key members of the team put forth as part of the winning proposal.

This section must include the following information:

- Names of Project Manager and team members;
- Résumés of all technical personnel to be assigned to work within the scope of services as outlined in Section IV (provide as attachments; résumés will not count toward the page limit);
- Statement of proposer's background and experience related to activities and services being sought through this RFP;
- Brief description of similar projects for which the proposer has provided services during the past five (5) years, including the following information:
  - Client, including reference contact information
  - Project description and location
  - Description of services



- Total value of services provided
- Actual budget performance vs. projected
- Actual schedule performance vs. projected
- Key personnel involved
- Sub-consultants employed

**4. Assurances and Miscellaneous Items.** In this section, proposals must provide the following information:

- a. Proposers must complete and include the exhibits listed below within the submittal. These exhibits do not count toward the page limit; please provide as attachments to proposal. Exhibit samples are attached to this RFP.

<b>Exhibit</b>	<b>Prime Consultant</b>	<b>Subconsultant(s)</b>
Exhibit A - Debarment and Suspension Certification	X	X
Exhibit B - Terminated Contracts	X	X
Exhibit C - Workforce Data Spreadsheets	X	X
Exhibit D - Guidance for Bidders Completing the Good Faith Effort Submittal	N/A	N/A
Exhibit 10-I - Notice to Proposers DBE Information	N/A	N/A
Exhibit 10-O1 - Local Agency Consultant Proposal DBE Commitment	X	N/A
Exhibit 10-O2 - Local Agency Consultant Contract DBE Information	X	N/A
Exhibit 10-Q - Disclosure of Lobbying Activities	X	X
Exhibit 15-H - DBE Information - Good Faith Efforts	X	N/A

- b. Proposers must provide the names, telephone numbers, and e-mail addresses of at least three references, in addition to staff of the Transportation Authority, if any. The references should cover work performed by the Project Manager and other key project staff members, should be for work recently performed and similar in nature to the services sought in this RFP. The references must include a brief description of the projects involved, and the roles of the respective team members in successfully completing the project.
- c. Proposers must specify any potential or perceived conflicts of interest which would disqualify its firm from doing business with the Transportation Authority. If proposers are unaware of existing or foreseeable conflicts of interest, a simple statement will suffice. However, proposers should provide a brief description of each apparent, existing or foreseeable conflict of interest, if any. In addition, list all relevant assignments completed for the City and County of San Francisco within the last five (5) years, and any involvement with Transportation Authority-funded projects, to enable the Transportation Authority to identify any possible conflicts of interest.



- d. Proposers must list any political contributions of money, in-kind services, or loans made to any current member of the Transportation Authority Board of Commissioners within the last three (3) years by management positions of the proposed consultant or sub-consultant. If proposers are unaware of any political contributions, a simple statement will suffice. However, if proposers are aware of any political contribution, proposals should include details, such as to whom, what type of contribution, the date and the amount.
- e. Proposers must clearly designate financial submittals or other materials in its submittal, if any, which it in good faith believes to be a trade secret or confidential proprietary information protected from disclosure. See Section IX below, for further details on public disclosure of responses and other materials.
- f. Proposers shall acknowledge receipt and understanding of the following Transportation Authority contracting requirements and state its ability and willingness to comply with each of them in its proposal. The Transportation Authority does not intend to deviate from its standard contract language.

**i. Insurance**

Prior to commencement of work, the Transportation Authority will require the successful proposer to provide evidence of appropriate insurance coverage. The Transportation Authority's standard contract requires firms to maintain, during the full term of the contract term, insurance in the following amounts and coverages:

- (a) Workers' Compensation, in statutory amounts, with Employers' Liability Limits not less than \$1,000,000 each accident;
- (b) Commercial General Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Contractual Liability, Personal Injury, Products and Completed Operations;
- (c) Commercial Automobile Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Owned, Non-Owned and Hired auto coverage, as applicable; and
- (d) Professional Liability Insurance with limits not less than \$2,000,000 per claim. Sub-consultants providing professional services under this Agreement shall be added to Contractor's policy as additional insured, or shall provide evidence of their own professional liability insurance which is acceptable to the Transportation Authority's Executive Director.

Such coverage must be provided by an insurance company authorized to do business in the State of California. Commercial General Liability and Business Automobile Liability insurance policies must name the San Francisco County Transportation Authority as an



Additional Insured and that the policies will not be cancelled or materially changed without thirty (30) days prior notice in writing to the Transportation Authority. Describe if your firm's insurance coverage and amounts meet the above-stated contract limitations.

## ii. Indemnification

(a) **Generally.** To the fullest extent permitted by law, Contractor shall assume the defense of (with legal counsel subject to approval of the Transportation Authority), indemnify and save harmless the Transportation Authority, its boards, commissions, officers, and employees (collectively "Indemnitees"), from and against any and all claims, loss, cost, damage, injury (including, without limitation, injury to or death of an employee of the Contractor or its sub-consultants), expense and liability of every kind, nature, and description (including, without limitation, incidental and consequential damages, court costs, attorneys' fees, litigation expenses, fees of expert consultants or witnesses in litigation, and costs of investigation), that arise out of, pertain to, or relate to, directly or indirectly, in whole or in part, the negligence, recklessness, or willful misconduct of the Contractor, any sub-consultant, anyone directly or indirectly employed by them, or anyone that they control (collectively, "Liabilities").

(b) **Limitations.** No insurance policy covering the Contractor's performance under this Agreement shall operate to limit the Contractor's Liabilities under this provision. Nor shall the amount of insurance coverage operate to limit the extent of such Liabilities.

The Contractor assumes no liability whatsoever for the sole negligence, active negligence, or willful misconduct of any Indemnitee or the contractors of any Indemnitee.

(c) **Copyright Infringement.** Contractor shall also indemnify, defend and hold harmless all Indemnitees from all suits or claims for infringement of the patent rights, copyright, trade secret, trade name, trademark, service mark, or any other proprietary right of any person or persons in consequence of the use by the Transportation Authority, or any of its boards, commissions, officers, or employees of articles or services to be supplied in the performance of Contractor's services under this Agreement. Infringement of patent rights, copyrights, or other proprietary rights in the performance of this Agreement, if not the basis for indemnification under the law, shall nevertheless be considered a material breach of contract.

## iii. Incidental and Consequential Damages

Contractor shall be responsible for incidental and consequential damages resulting in whole or in part from Contractor's acts or omissions. Nothing in this Agreement shall





constitute a waiver or limitation of any rights that Transportation Authority may have under applicable law.

5. **Cost.** The cost proposal will not count toward the page limit, and must be submitted as a separate electronic file. This contract will be on a cost-reimbursement basis, which provides for payment of the successful proposer's allowable incurred costs, to the extent prescribed in the contract, plus a fixed fee. The cost proposal must include a budget comprised of a matrix with columns for hourly rate, classification, and name for all personnel and/or sub-consultants involved for the work described in Section IV above. It also must provide a breakdown of hours and costs for each task listed in the scope of work, including optional tasks which should be separated from the required tasks.. The cost proposal must include a method for establishing rates for personnel or classifications not listed. In addition, the cost proposal must include a billing rate schedule by classification for the prime and all sub-consultants and must contain a breakdown of all cost components to include: unloaded labor base rate, other direct costs, indirect cost rate, escalation (not to exceed 3% annually) and net fee. Sub-consultant costs, travel and all other direct costs will be reimbursed at cost with no markup allowed. The fee (profit) for prime consultant and sub-consultants shall be negotiated and in any event shall not exceed 10% of respective labor costs comprised of the total of wages, overhead, general and administrative expenses within the cost proposal.

## **SECTION VI – EVALUATION CRITERIA AND METHOD OF AWARD**

The proposals will be evaluated by a selection committee appointed by the Executive Director and scored (maximum of 100 points) using the following criteria:

1. **Proposer Information and Understanding of Project Objectives. (15 points)**
  - a. Responsiveness to all items requested in the RFP, such as completeness of submission, adherence to required page limits, overall organization and clarity of proposal; and
  - b. Understanding of the services to be provided, particularly in relation to the Transportation Authority, and challenges for each task.
2. **Technical and Management Approach. (50 points)**
  - a. Effectiveness of the proposed work plan, program and method of execution;
  - b. Technical solutions to meet the scope of services; insight and understanding of special issues, problems and constraints, approach towards mitigating and resolving them;
  - c. Effectiveness of the team's organizational structure in executing and managing the tasks;
  - d. Management approach in providing technically sound and cost-effective services; and
  - e. Ability to provide timely, qualified and adequate staffing and services to support project demands.



### 3. Capabilities and Experience. (35 points)

- a. Capability of project team, specific relevant experience, qualifications and expertise of each firm and subconsultant firm, especially the proposed key personnel; and
- b. Client references as to past project performance.

**Evaluation Process.** The selection committee retains the right to independently verify and evaluate relevant experience and client references, including any sources not mentioned in the proposal.

Submittals receiving an initial score of less than 70 points will not be considered further in the selection process. Proposers that have received a score of 70 points or higher may, at the Transportation Authority's sole discretion, be invited to an interview with the selection committee. The Transportation Authority reserves the right to not conduct oral interviews and determine the winning proposer based solely on the written proposal. If oral interviews are held, individuals who are identified as key personnel in the proposal are required to be in attendance at the interview. Based on the results of the interview, the selection committee may adjust initial scores on the evaluation criteria identified above to arrive at the final evaluation score. The proposer with the highest final evaluation score shall be determined as the top proposer. Proposers who do not arrive for a scheduled interview, if one is held, will no longer be considered further in the selection process.

Once the top proposer has been identified and the proposer's cost and pricing data has been reviewed, Transportation Authority staff will start contract negotiations with that proposer. If contract negotiations are not successful, the second-ranked proposer may be asked to negotiate with the Transportation Authority. Each proposer's cost and pricing data will remain unopened until negotiations begin with that particular proposer. The goal of such negotiations will be to agree on a final contract that delivers the services and work described in this RFP at a fair and reasonable cost to the Transportation Authority. The award, if any, will be made to the proposer whose submittal is most responsive to the RFP and deemed most advantageous to the Transportation Authority. The Transportation Authority reserves the right to modify and/or suspend any and all aspects of this procurement, to obtain further information from any firm or person responding to this procurement, to waive any informality or irregularity as to form or content of this procurement or any response thereto, to be the sole judge of the merits of the proposals received, and to reject any or all proposals.

## **SECTION VII – DBE FOR U.S. DEPARTMENT OF TRANSPORTATION ASSISTED CONTRACTS**

**Terms.** The terms used in this Policy have the meanings as defined in U.S. Department of Transportation (DOT) Code of Federal Regulations Title 49 Section 26 (49 CFR § 26).



**DBE Objective/Policy Statement.** As the Transportation Authority may receive federal financial assistance to fund a portion of this procurement from the United States Department of Transportation through the California Department of Transportation (Caltrans) acting on behalf of the Federal Highway Administration (FHWA), the Metropolitan Transportation Commission (MTC), or the Federal Transit Administration, this procurement is subject to Caltrans regulations in accordance with Code of Federal Regulations Title 49 Section 26 (49 CFR 26).

DBEs and other small businesses are strongly encouraged to participate in the performance of contracts financed in whole or in part with federal funds. The consultant should ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for this assurance. The proposer shall not discriminate on the basis of race, color, creed, religion, national origin, ancestry, age, height, weight, sex, sexual orientation, gender identity, domestic partner status, marital status, or disability or AIDS/HIV status in the award and performance of subcontracts. Proposers are encouraged to use services offered by financial institutions owned and controlled by DBEs.

**Nondiscrimination.** The Transportation Authority will never exclude any person from participation in, deny any person the benefit of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR 26 on the basis of race, color, sex, or national origin. The Transportation Authority will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing the accomplishment of the objectives of the Caltrans DBE Program Plan with respect to individuals of a particular race, color, sex, or national origin.

**Contract Goal.** For this contract, the Transportation Authority has established a DBE goal of **12.8%**. The DBE goal of 12.8% applies for both the \$3,000,000 contract budget for required tasks and the \$5,400,000 total potential contract budget. Firms are requested to provide all applicable certificates or proof of certification along with their submission, which will not count against the page limit. Proposers must document adequate good faith efforts to involve DBEs by completing and submitting the attached Exhibit 10-O1, *Consultant Proposal DBE Commitment*, Exhibit 10-O2, *Consultant Contract DBE Information*, and Exhibit 15-H, *DBE Information - Good Faith Efforts*. Regardless of whether or not proposers are able to meet the DBE goal, all proposers must complete and submit Exhibit 15-H showing that proposers made adequate good faith efforts to meet the goal. Proposals that do not make an adequate good faith effort to meet the DBE contract goal and document adequate good faith efforts shall be considered non-responsive to this procurement.

**DBE Regulations.** Bidders shall be fully informed with respect to the requirements of the DBE regulations. The DBE regulations in their entirety are incorporated herein by reference. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program by the proposal due date. A certified DBE may participate as a prime consultant, sub-consultant, joint venture partner with a prime or sub-consultant, vendor



of materials or supplies, or as a trucking company. For more information, please refer to Exhibit 10-I, *Notice to Proposers DBE Information*, and Exhibit D, *Guidance for Bidders Completing the Good Faith Effort Submittal*.

## **SECTION VIII – PROCUREMENT PROTEST AND APPEAL POLICIES AND PROCEDURES**

The Transportation Authority has established protest procedures, which apply to all procurements of supplies, equipment, and services. Proposers must file protests with the Transportation Authority no later than five (5) business days after notice, actual or constructive, by the Transportation Authority's Executive Director or his/her designee, that either their bid (or proposal) is not being considered further, or a recommendation has been made to the Board to award to another bidder. Copies of these policies and procedures are kept at the Transportation Authority's offices and are available upon written request.

## **SECTION IX – NOTE REGARDING PUBLIC DISCLOSURE OF RESPONSES AND OTHER MATERIALS**

Under the California Public Records Act (PRA; Government Code sections 6250 *et seq.*), records, information and materials submitted to the Transportation Authority, not otherwise exempt, are subject to public disclosure. Immediately after the contract has been awarded, the materials submitted by all proposers will be open to inspection. Each party submitting a response to the RFP should clearly designate financial submittals or other materials, if any, which it in good faith believes to be corporate proprietary information, including trade secrets, protected from disclosure; if no materials are designated, the submitted proposal in its entirety may be subject to the PRA. To the extent permitted by law, the Transportation Authority will attempt to maintain the confidentiality of such information by providing the proposer with notice that it has received a request. If the proposer desires that such materials not be disclosed, it may, at its own expense, take appropriate legal action to prevent such disclosure. However, such confidentiality cannot be assured, and the Transportation Authority will not be liable for the public disclosure of any material submitted to it.

## **APPENDICES AND EXHIBITS**

The following documents are attached:

- Exhibit A - Debarment and Suspension Certification
- Exhibit B - Terminated Contracts
- Exhibit C - Workforce Data Spreadsheets
- Exhibit D - Guidance for Bidders Completing the Good Faith Effort Submittal
- Exhibit 10-I - Notice to Proposers DBE Information



- Exhibit 10-O1 - Consultant Proposal DBE Commitment
- Exhibit 10-O2 - Consultant Contract DBE Information
- Exhibit 10-Q - Disclosure of Lobbying Activities
- Exhibit 15-H - DBE Information - Good Faith Efforts

**Exhibit A**

**Debarment and Suspension Certification**

Title 2, CODE OF FEDERAL REGULATIONS, PART 180

The Proposer's signature affixed herein, shall constitute a certification under penalty of perjury under the laws of the State of California, that the Proposer has complied with Title 2 CFR, Part 180, "OMB Guidelines to Agencies on Government wide Debarment and Suspension (nonprocurement)", which certifies that he/she or any other person associated therewith in the capacity of owner, partner, director, officer or manager:

- Is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency,
- Has not been suspended, debarred, voluntarily excluded or determined ineligible by any federal agency within the past three (3) years,
- Does not have a proposed debarment pending; and
- Has not been indicted, convicted, or had a civil judgment rendered against it by a court of competent jurisdiction in any matter involving fraud or official misconduct within the past three (3) years.

Any exceptions to this certification must be disclosed to the Transportation Authority in the following space:

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Exceptions will not necessarily result in denial of recommendation for award, but will be considered in determining Proposer responsibility. For any exception noted above, indicate below to whom it applies, initiating agency, and dates of action.

Exceptions to the Federal Government Excluded Parties List System maintained by the General Services Administration are to be determined by the Federal Highway Administration.

In signing this document, I declare under penalties of perjury that the foregoing certifications and assurances, and any other statements made by me on behalf of the Proposer are true and correct.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Firm Name

## Exhibit B – Terminated Contracts

Proposers must provide a list of contracts terminated (partially or completely) by clients for convenience or default within the past three (3) years. For each contract, the list must include the following information:

- Contract number;
- Contract value;
- Description of work;
- Sponsoring organization name; and
- Sponsoring organization key contact information, including name, title and current telephone number.

Proposer does not have any terminated contracts by clients for convenience or default within the past three (3) years.

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Authorized Signature

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Date Signed

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Printed Name

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Title

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Firm Name

**Exhibit C – Workforce Data Spreadsheet #1  
Breakdown of existing employees**

Name of firm: \_\_\_\_\_

Address: \_\_\_\_\_

EMPLOYEE * CATEGORIES	TOTAL EMPLOYEE		AFRICAN AMERICAN		HISPANIC		ASIAN/ PAC. ISL.		AMER. IND./ ALAK. NTV.		TOTAL MINORITY		PERCENTAGE WHITE		PERCENTAGE MINORITY	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Officials																
Managers																
Professionals																
Technicians																
Admin. Support																
Trainees																
Others																
Full-time																
Part-time																
<b>TOTAL</b>																

COMPLETED BY Name: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

\* If the list of occupations on the left side of the workforce data form does not match your occupation titles, please modify the data form to indicate occupations particular to your organization.



**Exhibit C – Workforce Data Spreadsheet #2  
Breakdown of employees hired in last 12 months**

Name of firm: \_\_\_\_\_

Address: \_\_\_\_\_

EMPLOYEE CATEGORIES	TOTAL EMPLOYEE		AFRICAN AMERICAN		HISPANIC		ASIAN/ PAC. ISL.		AMER. IND./ ALAK. NTV.		TOTAL MINORITY		PERCENTAGE WHITE		PERCENTAGE MINORITY	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Officials																
Managers																
Professionals																
Technicians																
Admin. Support																
Trainees																
Others																
Full-time																
Part-time																
<b>TOTAL</b>																

COMPLETED BY Name: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

\* If the list of occupations on the left side of the workforce data form does not match your occupation titles, please modify the data form to indicate occupations particular to your organization.



## Exhibit D

### GUIDANCE FOR BIDDERS COMPLETING THE GOOD FAITH EFFORT SUBMITTAL

The specifications in Section 2 of the project Special provisions for each federally-funded project state the following about documentation of adequate good faith efforts:

“The information necessary to establish the bidder’s adequate good faith efforts to meet the contract goal should include:

- A. The names and dates of each publication in which a request for DBE participation for this project was placed by the bidder.
- B. The names and dates of written notices sent to certified DBEs soliciting bids for this project and the dates and methods used for following up initial solicitations to determine with certainty whether the DBEs were interested.
- C. The items of work which the bidder made available to DBE firms, including, where appropriate, any breaking down of the contract work items (including those items normally performed by the bidder with its own forces) into economically feasible units to facilitate DBE participation. It is the bidder’s responsibility to demonstrate that sufficient work to meet the DBE goal was made available to DBE firms.
- D. The names, address and phone numbers of rejected DBE firms, the firms selected for that work, and the reasons for the bidder’s choice.
- E. Efforts made to assist interested DBEs in obtaining bonding, lines of credit or insurance, and any work which was provided to the DBEs.
- F. Efforts made to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services, excluding supplies and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate.
- G. The names of agencies contacted to provide assistance in contracting, recruiting and using DBE firms.
- H. Any additional data to support a demonstration of good faith efforts.”

It is recommended that bidders consider the following in making efforts to obtain participation of DBEs, and when preparing the documentation to be submitted, demonstrating their good faith efforts:

- Advertising for DBE participation may be placed in newspapers, trade papers, minority focus papers and on the Internet.
- The more advertising the better. The wider the audience—especially in trade and focus publications—the better a prime contractor can “get the word out” they plan to bid a project, the better potential for DBEs to know about the project and to whom they should bid.



- Solicitations and follow-up telephone contacts should occur within reasonable time before the opening bid date to allow the subcontractor time to prepare a quote to submit to the bidder. Telephone or e-mail logs, and fax receipts may be used to corroborate follow-up contacts.
- Advertisements and solicitations should state which items or portions of work are being made available. The bidder should consider making as many items of work available as possible to meet the goal, including those items normally performed by the bidder with its own forces.
- Bidders are encouraged to assist DBE subcontractors in the areas of bonding (if required), lines of credit, and obtaining necessary equipment, supplies and materials, and inform DBEs of this assistance in their solicitations.
- The documentation to be submitted to the local agency should clearly demonstrate all efforts made by the bidder to meet the DBE goal. To assist in providing clear documentation, bidders should consider the following:
  - Be careful when referring to “See Attachments” without providing explicit information where to find the material. Clearly identifying these items as Attachment A, Attachment B, etc. is suggested.
  - Attachments may include copies of advertisements, solicitations and logs of telephone follow-ups, e-mail or fax receipts.
  - In documenting the work made available to DBEs, list the bid item number, description of the work and what portion of the item was offered, if applicable.
  - Include quotes from rejected DBEs and the quotes from the firms selected. If the bidder is doing the work at less cost, include the items to be performed and the costs.
  - Identify any contacts with agencies, organizations or groups used or contacted to provide assistance in contacting, recruiting and using DBE firms, and any responses or assistance received from them.
  - Describe any additional information which would demonstrate that adequate good faith efforts were made to meet the goal.

**EXHIBIT 10-I NOTICE TO PROPOSERS DBE INFORMATION**

(Federally funded projects only)

The Agency has established a DBE goal for this Contract of 12.8 %**1. TERMS AS USED IN THIS DOCUMENT**

- The term “Disadvantaged Business Enterprise” or “DBE” means a for-profit small business concern owned and controlled by a socially and economically disadvantaged person(s) as defined in Title 49, Code of Federal Regulations (CFR), Part 26.5.
- The term “Agreement” also means “Contract.”
- Agency also means the local entity entering into this contract with the Contractor or Consultant.
- The term “Small Business” or “SB” is as defined in 49 CFR 26.65.

**2. AUTHORITY AND RESPONSIBILITY**

- A. DBEs and other small businesses are strongly encouraged to participate in the performance of Contracts financed in whole or in part with federal funds (See 49 CFR 26, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs”). The Consultant must ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for this assurance. The proposer must not discriminate on the basis of race, color, national origin, or sex in the award and performance of subcontracts.
- B. Proposers are encouraged to use services offered by financial institutions owned and controlled by DBEs.

**3. SUBMISSION OF DBE INFORMATION**

If there is a DBE goal on the contract, Exhibit 10-O1 *Consultant Proposal DBE Commitment* must be included in the Proposal. In order for a proposer to be considered responsible and responsive, the proposer must make good faith efforts to meet the goal established for the contract. If the goal is not met, the proposer must document adequate good faith efforts. All DBE participation will be counted towards [meeting](#) the contract goal; therefore, all DBE participation shall be collected and reported.

Exhibit 10-O2 *Consultant Contract DBE Information* must be included in [best qualified consultant’s executed consultant contract](#). Even if no DBE participation will be reported, the successful proposer must execute and return the form.

**4. DBE PARTICIPATION GENERAL INFORMATION**

It is the proposer’s responsibility to be fully informed regarding the requirements of 49 CFR, Part 26, and the Department’s DBE program developed pursuant to the regulations. Particular attention is directed to the following:

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).
- B. A certified DBE may participate as a prime consultant, subconsultant, joint venture partner, as a vendor of material or supplies, or as a trucking company.
- C. A DBE proposer not proposing as a joint venture with a non-DBE, will be required to document one or a combination of the following:
  1. The proposer is a DBE and will meet the goal by performing work with its own forces.
  2. The proposer will meet the goal through work performed by DBE subconsultants, suppliers or trucking companies.
  3. The proposer, prior to proposing, made adequate good faith efforts to meet the goal.

- D. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing, and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profits of the joint venture commensurate with its ownership interest.
- E. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55, that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- F. The proposer shall list only one subconsultant for each portion of work as defined in their proposal and all DBE subconsultants should be listed in the bid/cost proposal list of subconsultants.
- G. A prime consultant who is a certified DBE is eligible to claim all of the work in the Contract toward the DBE participation except that portion of the work to be performed by non-DBE subconsultants.

## 5. RESOURCES

- A. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP. If you believe a firm is certified that cannot be located on the database, please contact the Caltrans Office of Certification toll free number 1-866-810-6346 for assistance.
- B. Access the CUCP database from the Department of Transportation, Office of Business and Economic Opportunity Web site at: <https://dot.ca.gov/programs/business-and-economic-opportunity/dbe-search>.
  - 1. Click on the link titled Disadvantaged Business Enterprise;
  - 2. Click on Search for a DBE Firm link;
  - 3. Click on Access to the DBE Query Form located on the first line in the center of the page.Searches can be performed by one or more criteria. Follow instructions on the screen.

## 6. MATERIALS OR SUPPLIES PURCHASED FROM DBES COUNT TOWARDS THE DBE GOAL UNDER THE FOLLOWING CONDITIONS:

- A. If the materials or supplies are obtained from a DBE manufacturer, count 100 percent of the cost of the materials or supplies. A DBE manufacturer is a firm that operates or maintains a factory, or establishment that produces on the premises the materials, supplies, articles, or equipment required under the Contract and of the general character described by the specifications.
- B. If the materials or supplies purchased from a DBE regular dealer, count 60 percent of the cost of the materials or supplies. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.
- C. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be, by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.
- D. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.

**EXHIBIT 10-01 CONSULTANT PROPOSAL DBE COMMITMENT**

1. Local Agency: \_\_\_\_\_ 2. Contract DBE Goal: \_\_\_\_\_  
 3. Project Description: \_\_\_\_\_  
 4. Project Location: \_\_\_\_\_  
 5. Consultant's Name: \_\_\_\_\_ 6. Prime Certified DBE:

7. Description of Work, Service, or Materials Supplied	8. DBE Certification Number	9. DBE Contact Information	10. DBE %
<b>Local Agency to Complete this Section</b>		<b>11. TOTAL CLAIMED DBE PARTICIPATION</b>	%
17. Local Agency Contract Number: _____ 18. Federal-Aid Project Number: _____ 19. Proposed Contract Execution Date: _____ 20. Consultant's Ranking after Evaluation: _____	IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required.  _____ 12. Preparer's Signature                      13. Date  _____ 14. Preparer's Name                              15. Phone  _____ 16. Preparer's Title		
Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate.  _____ _____ _____			

DISTRIBUTION: Original – Included with consultant's proposal to local agency.

**ADA Notice:** For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

**INSTRUCTIONS – CONSULTANT PROPOSAL DBE COMMITMENT****CONSULTANT SECTION**

- 1. Local Agency** - Enter the name of the local or regional agency that is funding the contract.
- 2. Contract DBE Goal** - Enter the contract DBE goal percentage as it appears on the project advertisement.
- 3. Project Location** - Enter the project location as it appears on the project advertisement.
- 4. Project Description** - Enter the project description as it appears on the project advertisement (Bridge Rehab, Seismic Rehab, Overlay, Widening, etc.).
- 5. Consultant's Name** - Enter the consultant's firm name.
- 6. Prime Certified DBE** - Check box if prime contractor is a certified DBE.
- 7. Description of Work, Services, or Materials Supplied** - Enter description of work, services, or materials to be provided. Indicate all work to be performed by DBEs including work performed by the prime consultant's own forces, if the prime is a DBE. If 100% of the item is not to be performed or furnished by the DBE, describe the exact portion to be performed or furnished by the DBE. See LAPM Chapter 9 to determine how to count the participation of DBE firms.
- 8. DBE Certification Number** - Enter the DBE's Certification Identification Number. All DBEs must be certified on the date bids are opened.
- 9. DBE Contact Information** - Enter the name, address, and phone number of all DBE subcontracted consultants. Also, enter the prime consultant's name and phone number, if the prime is a DBE.
- 10. DBE %** - Percent participation of work to be performed or service provided by a DBE. Include the prime consultant if the prime is a DBE. See LAPM Chapter 9 for how to count full/partial participation.
- 11. Total Claimed DBE Participation %** - Enter the total DBE participation claimed. If the total % claimed is less than item "Contract DBE Goal," an adequately documented Good Faith Effort (GFE) is required (see Exhibit 15-H DBE Information - Good Faith Efforts of the LAPM).
- 12. Preparer's Signature** - The person completing the DBE commitment form on behalf of the consultant's firm must sign their name.
- 13. Date** - Enter the date the DBE commitment form is signed by the consultant's preparer.
- 14. Preparer's Name** - Enter the name of the person preparing and signing the consultant's DBE commitment form.
- 15. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 16. Preparer's Title** - Enter the position/title of the person signing the consultant's DBE commitment form.

**LOCAL AGENCY SECTION**

- 17. Local Agency Contract Number** - Enter the Local Agency contract number or identifier.
- 18. Federal-Aid Project Number** - Enter the Federal-Aid Project Number.
- 19. Proposed Contract Execution Date** - Enter the proposed contract execution date.
- 20. Consultant's Ranking after Evaluation** - Enter consultant's ranking after all submittals/consultants are evaluated. Use this as a quick comparison for evaluating most qualified consultant.
- 21. Local Agency Representative's Signature** - The person completing this section of the form for the Local Agency must sign their name to certify that the information in this and the Consultant Section of this form is complete and accurate.
- 22. Date** - Enter the date the DBE commitment form is signed by the Local Agency Representative.
- 23. Local Agency Representative's Name** - Enter the name of the Local Agency Representative certifying the consultant's DBE commitment form.
- 24. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 25. Local Agency Representative Title** - Enter the position/title of the Local Agency Representative certifying the consultant's DBE commitment form.

**EXHIBIT 10-O2 CONSULTANT CONTRACT DBE COMMITMENT**

1. Local Agency: \_\_\_\_\_ 2. Contract DBE Goal: \_\_\_\_\_  
 3. Project Description: \_\_\_\_\_  
 4. Project Location: \_\_\_\_\_  
 5. Consultant's Name: \_\_\_\_\_ 6. Prime Certified DBE:  7. Total Contract Award Amount: \_\_\_\_\_  
 8. Total Dollar Amount for **ALL** Subconsultants: \_\_\_\_\_ 9. Total Number of **ALL** Subconsultants: \_\_\_\_\_

10. Description of Work, Service, or Materials Supplied	11. DBE Certification Number	12. DBE Contact Information	13. DBE Dollar Amount
<b>Local Agency to Complete this Section</b>			\$
20. Local Agency Contract Number: _____ 21. Federal-Aid Project Number: _____ 22. Contract Execution Date: _____			%
Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate.			<b>14. TOTAL CLAIMED DBE PARTICIPATION</b>
IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required.			
_____ 23. Local Agency Representative's Signature		_____ 24. Date	_____ 15. Preparer's Signature
_____ 25. Local Agency Representative's Name		_____ 26. Phone	_____ 16. Date
_____ 27. Local Agency Representative's Title			_____ 17. Preparer's Name
			_____ 18. Phone
			_____ 19. Preparer's Title

**DISTRIBUTION:** 1. Original – Local Agency  
 2. Copy – Caltrans District Local Assistance Engineer (DLAE). Failure to submit to DLAE within 30 days of contract execution may result in de-obligation of federal funds on contract.

**ADA Notice:** For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.



**INSTRUCTIONS – CONSULTANT CONTRACT DBE COMMITMENT**CONSULTANT SECTION

- 1. Local Agency** - Enter the name of the local or regional agency that is funding the contract.
- 2. Contract DBE Goal** - Enter the contract DBE goal percentage as it appears on the project advertisement.
- 3. Project Description** - Enter the project description as it appears on the project advertisement (Bridge Rehab, Seismic Rehab, Overlay, Widening, etc).
- 4. Project Location** - Enter the project location as it appears on the project advertisement.
- 5. Consultant's Name** - Enter the consultant's firm name.
- 6. Prime Certified DBE** - Check box if prime contractor is a certified DBE.
- 7. Total Contract Award Amount** - Enter the total contract award dollar amount for the prime consultant.
- 8. Total Dollar Amount for ALL Subconsultants** – Enter the total dollar amount for all subcontracted consultants. SUM = (DBEs + all Non-DBEs). Do not include the prime consultant information in this count.
- 9. Total number of ALL subconsultants** – Enter the total number of all subcontracted consultants. SUM = (DBEs + all Non-DBEs). Do not include the prime consultant information in this count.
- 10. Description of Work, Services, or Materials Supplied** - Enter description of work, services, or materials to be provided. Indicate all work to be performed by DBEs including work performed by the prime consultant's own forces, if the prime is a DBE. If 100% of the item is not to be performed or furnished by the DBE, describe the exact portion to be performed or furnished by the DBE. See LAPM Chapter 9 to determine how to count the participation of DBE firms.
- 11. DBE Certification Number** - Enter the DBE's Certification Identification Number. All DBEs must be certified on the date bids are opened.
- 12. DBE Contact Information** - Enter the name, address, and phone number of all DBE subcontracted consultants. Also, enter the prime consultant's name and phone number, if the prime is a DBE.
- 13. DBE Dollar Amount** - Enter the subcontracted dollar amount of the work to be performed or service to be provided. Include the prime consultant if the prime is a DBE. See LAPM Chapter 9 for how to count full/partial participation.
- 14. Total Claimed DBE Participation - \$:** Enter the total dollar amounts entered in the "DBE Dollar Amount" column. **%:** Enter the total DBE participation claimed ("Total Participation Dollars Claimed" divided by item "Total Contract Award Amount"). If the total % claimed is less than item "Contract DBE Goal," an adequately documented Good Faith Effort (GFE) is required (see Exhibit 15-H DBE Information - Good Faith Efforts of the LAPM).
- 15. Preparer's Signature** - The person completing the DBE commitment form on behalf of the consultant's firm must sign their name.
- 16. Date** - Enter the date the DBE commitment form is signed by the consultant's preparer.
- 17. Preparer's Name** - Enter the name of the person preparing and signing the consultant's DBE commitment form.
- 18. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 19. Preparer's Title** - Enter the position/title of the person signing the consultant's DBE commitment form.

LOCAL AGENCY SECTION

- 20. Local Agency Contract Number** - Enter the Local Agency contract number or identifier.
- 21. Federal-Aid Project Number** - Enter the Federal-Aid Project Number.
- 22. Contract Execution Date** - Enter the date the contract was executed.
- 23. Local Agency Representative's Signature** - The person completing this section of the form for the Local Agency must sign their name to certify that the information in this and the Consultant Section of this form is complete and accurate.
- 24. Date** - Enter the date the DBE commitment form is signed by the Local Agency Representative.
- 25. Local Agency Representative's Name** - Enter the name of the Local Agency Representative certifying the consultant's DBE commitment form.
- 26. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 27. Local Agency Representative Title** - Enter the position/title of the Local Agency Representative certifying the consultant's DBE commitment form.

EXHIBIT 10-Q DISCLOSURE OF LOBBYING ACTIVITIES

COMPLETE THIS FORM TO DISCLOSE LOBBYING ACTIVITIES PURSUANT TO 31 U.S.C. 1352

<p><b>1. Type of Federal Action:</b></p> <p><input type="checkbox"/> a. contract  <input type="checkbox"/> b. grant  <input type="checkbox"/> c. cooperative agreement  <input type="checkbox"/> d. loan  <input type="checkbox"/> e. loan guarantee  <input type="checkbox"/> f. loan insurance</p>	<p><b>2. Status of Federal Action:</b></p> <p><input type="checkbox"/> a. bid/offer/application  <input type="checkbox"/> b. initial award  <input type="checkbox"/> c. post-award</p>	<p><b>3. Report Type:</b></p> <p><input type="checkbox"/> a. initial  <input type="checkbox"/> b. material change</p> <p><b>For Material Change Only:</b>  year _____ quarter _____  date of last report _____</p>
<p><b>4. Name and Address of Reporting Entity</b></p> <p><input type="checkbox"/> Prime                      <input type="checkbox"/> Subawardee  Tier _____, if known</p> <p>Congressional District, if known _____</p>	<p><b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b></p> <p>Congressional District, if known _____</p>	
<p><b>6. Federal Department/Agency:</b></p>	<p><b>7. Federal Program Name/Description:</b></p> <p>CFDA Number, if applicable _____</p>	
<p><b>8. Federal Action Number, if known:</b></p>	<p><b>9. Award Amount, if known:</b></p>	
<p><b>10. Name and Address of Lobby Entity</b>  (If individual, last name, first name, MI)</p> <p>(attach Continuation Sheet(s) if necessary)</p>	<p><b>11. Individuals Performing Services</b>  (including address if different from No. 10)  (last name, first name, MI)</p>	
<p><b>12. Amount of Payment (check all that apply)</b></p> <p>\$ _____ <input type="checkbox"/> actual    <input type="checkbox"/> planned</p>	<p><b>14. Type of Payment (check all that apply)</b></p> <p><input type="checkbox"/> a. retainer  <input type="checkbox"/> b. one-time fee  <input type="checkbox"/> c. commission  <input type="checkbox"/> d. contingent fee  <input type="checkbox"/> e. deferred  <input type="checkbox"/> f. other, specify _____</p>	
<p><b>13. Form of Payment (check all that apply):</b></p> <p><input type="checkbox"/> a. cash  <input type="checkbox"/> b. in-kind; specify: nature _____  Value _____</p>		
<p><b>15. Brief Description of Services Performed or to be performed and Date(s) of Service, including officer(s), employee(s), or member(s) contacted, for Payment Indicated in Item 12:</b></p> <p>(attach Continuation Sheet(s) if necessary)</p>		
<p><b>16. Continuation Sheet(s) attached:</b>      Yes <input type="checkbox"/>      No <input type="checkbox"/></p>	<p><b>*If not applicable, you may leave questions blank but you must sign and complete below section.</b></p> <p>Signature: _____  Print Name: _____  Title: _____  Telephone No.: _____ Date: _____</p>	
<p><b>17. Information requested through this form is authorized by Title 31 U.S.C. Section 1352. This disclosure of lobbying reliance was placed by the tier above when his transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b></p>		
<p><b>Federal Use Only:</b></p> <p style="text-align: right;">Authorized for Local Reproduction Standard Form - LLL</p>		

Standard Form LLL Rev. 04-28-06

Distribution: Orig- Local Agency Project Files

**INSTRUCTIONS FOR COMPLETING EXHIBIT 10-Q DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime federal recipient at the initiation or receipt of covered federal action or a material change to previous filing pursuant to title 31 U.S.C. Section 1352. The filing of a form is required for such payment or agreement to make payment to lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress an officer or employee of Congress or an employee of a Member of Congress in connection with a covered federal action. Attach a continuation sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered federal action for which lobbying activity is or has been secured to influence, the outcome of a covered federal action.
2. Identify the status of the covered federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last, previously submitted report by this reporting entity for this covered federal action.
4. Enter the full name, address, city, state, and zip code of the reporting entity. Include Congressional District if known. Check the appropriate classification of the reporting entity that designates if it is or expects to be a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the first tier. Subawards include but are not limited to: subcontracts, subgrants, and contract awards under grants.
5. If the organization filing the report in Item 4 checks "Subawardee" then enter the full name, address, city, state, and zip code of the prime federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organization level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the federal program name or description for the covered federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans and loan commitments.
8. Enter the most appropriate federal identifying number available for the federal action identification in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract grant. or loan award number, the application/proposal control number assigned by the federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered federal action where there has been an award or loan commitment by the Federal agency, enter the federal amount of the award/loan commitments for the prime entity identified in item 4 or 5.
10. Enter the full name, address, city, state, and zip code of the lobbying entity engaged by the reporting entity identified in Item 4 to influence the covered federal action.
11. Enter the full names of the individual(s) performing services and include full address if different from 10 (a). Enter Last Name, First Name and Middle Initial (MI).
12. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (Item 4) to the lobbying entity (Item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
13. Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
14. Check all boxes that apply. If other, specify nature.
15. Provide a specific and detailed description of the services that the lobbyist has performed or will be expected to perform and the date(s) of any services rendered. Include all preparatory and related activity not just time spent in actual contact with federal officials. Identify the federal officer(s) or employee(s) contacted or the officer(s) employee(s) or Member(s) of Congress that were contacted.
16. Check whether or not a continuation sheet(s) is attached.
17. The certifying official shall sign and date the form, and print his/her name title and telephone number.

Public reporting burden for this collection of information is estimated to average 30-minutes per response, including time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503. SF-LLL-Instructions Rev. 06-04

**EXHIBIT 15-H: PROPOSER/CONTRACTOR GOOD FAITH EFFORTS**

Cost Proposal Due Date \_\_\_\_\_ PE/CE

Federal-aid Project No(s). \_\_\_\_\_ Bid Opening Date \_\_\_\_\_ CON

The \_\_\_\_\_ (Agency Name) established a Disadvantaged Business Enterprise (DBE) goal of \_\_\_\_\_% for this contract. The information provided herein shows the required good faith efforts to meet or exceed the DBE contract goal.

Proposers or bidders submit the following information to document their good faith efforts within five (5) business days from cost proposal due date or bid opening. Proposers and bidders are recommended to submit the following information even if the Exhibit 10-O1: Consultant Proposal DBE Commitments or Exhibit 15-G: Construction Contract DBE Commitment indicate that the proposer or bidder has met the DBE goal. This form protects the proposer’s or bidder’s eligibility for award of the contract if the administering agency determines that the bidder failed to meet the goal for various reasons, e.g., a DBE firm was not certified at bid opening, or the bidder made a mathematical error.

The following items are listed in the Section entitled “Submission of DBE Commitment” of the Special Provisions, **please attach additional sheets as needed:**

- A. The names and dates of each publication in which a request for DBE participation for this project was placed by the bidder (please attach copies of advertisements or proofs of publication):

Publications	Dates of Advertisement

- B. The names and dates of written notices sent to certified DBEs soliciting bids for this project and the dates and methods used for following up initial solicitations to determine with certainty whether the DBEs were interested (please attach copies of solicitations, telephone records, fax confirmations, etc.):

Names of DBEs Solicited	Date of Initial Solicitation	Follow Up Methods and Dates

C. The items of work made available to DBE firms including those unbundled contract work items into economically feasible units to facilitate DBE participation. It is the bidder's responsibility to demonstrate that sufficient work to facilitate DBE participation in order to meet or exceed the DBE contract goal.

Items of Work	Proposer or Bidder Normally Performs Item (Y/N)	Breakdown of Items	Amount (\$)	Percentage Of Contract

D. The names, addresses and phone numbers of rejected DBE firms, the reasons for the bidder's rejection of the DBEs, the firms selected for that work (please attach copies of quotes from the firms involved), and the price difference for each DBE if the selected firm is not a DBE:

Names, addresses and phone numbers of rejected DBEs and the reasons for the bidder's rejection of the DBEs:

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Names, addresses and phone numbers of firms selected for the work above:

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E. Efforts (e.g. in advertisements and solicitations) made to assist interested DBEs in obtaining information related to the plans, specifications and requirements for the work which was provided to DBEs:

F. Efforts (e.g. in advertisements and solicitations) made to assist interested DBEs in obtaining bonding, lines of credit or insurance, necessary equipment, supplies, materials, or related assistance or services, excluding supplies and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate:

G. The names of agencies, organizations or groups contacted to provide assistance in contacting, recruiting and using DBE firms (please attach copies of requests to agencies and any responses received, i.e., lists, Internet page download, etc.):

Name of Agency/Organization	Method/Date of Contact	Results

H. Any additional data to support a demonstration of good faith efforts: